

3. Mandatory meetings and use of the OSF for ensigns and lieutenants (junior grade). Supervisors shall conduct beginning and end-of-period meetings and are required to maintain a record of significant performance related events for all Reported-on Officers in these grades as prescribed in c., d., and f. above. In cases of geographic separation, telephone or written exchange of information may suffice.

10.A.2.e. Reporting Officer

1. Designation.



- a. The Reporting Officer is normally the supervisor of the Supervisor.
- b. Coast Guard officers, officers of other U.S. Armed Forces, officers of Foreign Armed Services, U.S. Public Health Service officers, and U.S. government civilian employees may serve as Reporting Officers. The reporting officer of a reserve officer may be either an active duty or reserve officer or individual stated above. If Reporting Officer is not a Coast Guard employee, specify which branch of service (i.e. USN, USA, USAF, DOD) in section 11a. of the OER Form.
- c. The Reporting Officer will normally be senior to the Reported-on Officer. Except for commanding officers, at least two year groups should normally separate these rating chain positions if they are of the same grade. Commander (CGPC-opm) or Commander (CGPC-rpm) will handle exceptions to this policy on a case-by-case basis.
- d. The Reporting Officer for an officer other than the commanding officer, will normally be designated no higher than the unit's commanding officer.
- e. The following officers in the grade of LT or above, or civilian members of the Coast Guard Senior Executive Service (SES), can be both Supervisor and Reporting Officer for their immediate subordinates:
 - (1) Commanding officers.
 - (2) Headquarters: assistant commandants, directors, deputy directors, office and division chiefs.
 - (3) Deputy commanders, executive officers, chiefs of staff, division and branch chiefs at:
 - (a) Area Commands.
 - (b) Maintenance and Logistics Commands.
 - (c) Districts.
 - (d) Headquarters units.

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Any exception not specifically cited herein must be authorized by Commander (CGPC-opm) or Commander (CGPC-rpm). See paragraph j. below on Reporting Officers for captain evaluations.

- f. The Headquarters program manager having technical responsibility for the unit will be the Reporting Officer for commanding officers of Headquarters units.
- g. The Reporting Officer for an officer assigned to another Service's staff or mission will be the commanding officer or senior staff officer to whom the Reported-on Officer is assigned.
- h. The Reporting Officer of officers under direct supervision of civilian employees outside the Coast Guard but within the Department of Transportation (DOT) shall be designated by appropriate DOT directive.
- i. The Headquarters program manager who exercises technical responsibility for the program will be the Reporting Officer for officers assigned to duty in civilian agencies other than DOT or in liaison service with other governments.
- j. The Reporting Officer for **all** captains must be a flag officer or a civilian member of the Coast Guard Senior Executive Service (SES). This requirement is not mandatory for assignments outside the Coast Guard.

2. Responsibilities. The Reporting Officer:

- a. Bases evaluation on direct observation, the OSF or other information provided by the Supervisor, and other reliable reports and records.
- b. Describes the demonstrated leadership ability and the overall potential of the Reported-on Officer for promotion and special assignment such as command. Prepares Reporting Officer sections of the OER;  Article 10.A.4.c.
- c. Ensures the Supervisor fully meets responsibilities for administration of the OES. Reporting Officers are expected to hold designated Supervisors accountable for timely and accurate evaluations. The Reporting Officer shall return a report for correction or reconsideration, if the Supervisor's submission is found inconsistent with actual performance or unsubstantiated by narrative comments. The Reporting Officer may not direct that an evaluation mark or comment be changed (unless the comment is prohibited under  Article 10.A.4.f.).
- d. Forwards the completed OER to the Reviewer; returns the OSF, if used, to the Reported-on Officer.



- e. Initiates an OER if the Supervisor does not perform in a timely manner. Ensures the OER is forwarded to the Reviewer not later than 30 days after the end of the reporting period.
- f. Provides performance feedback to the Reported-on Officer as appropriate.
- g. If the Reporting Officer changes and a complete OER is not submitted, the departing Reporting Officer shall provide the new Reporting Officer a draft of the applicable OER sections. The draft may be handwritten and shall include marks and comments (bullet statements are acceptable) for the period of observation, prepared and signed by the departing Reporting Officer;
☞ Article 10.A.3.a.
- h. An outgoing Reporting Officer shall provide a written report to the new Reporting Officer listing those officers for whom the outgoing Reporting Officer is preparing complete OERs and for whom signed OER drafts have been provided.


10.A.2.f. Reviewer

- 1. Designation.
 - a. The Reviewer is normally the Supervisor of the Reporting Officer. While the Supervisor and Reporting Officer are specific individuals, the Reviewer is a position **designated by competent authority, which in certain circumstances may be junior to the Reporting Officer.** The officer occupying that position has a definite OES administrative function and may perform an evaluative function.
 - b. Only Coast Guard commissioned officers, the USPHS flag officer serving as Director of Health and Safety, Commandant (G-WK), or Coast Guard SES members, may serve as Reviewer.
 - c. A commanding officer may serve as Reviewer for a Reported-on Officer if that commanding officer is not otherwise in the Reported-on Officer's rating chain. (For any officer at a major command whose position is lower than the department head level, the rating chain should be structured so that the Reviewer is no higher than the commanding officer.) **In certain situations (i.e., CO on extended TAD), Executive Officers and Deputy Commanders serving in an "Acting" capacity may sign as reviewer if not otherwise in the rating chain. "For" signatures are not authorized under any circumstance.**


- d. Flag officers shall serve as Reviewers on those reports for which they are Reporting Officers. Civilian members of the Senior Executive Service (SES) may serve as Reviewers on those reports for which they are Reporting Officers. Only flag officers or SES members may serve as Reviewers on OERs for which they have also been Reporting Officers. When a flag officer or SES member serves as both Supervisor and Reporting Officer on the same OER, the following will serve as Reviewer:

Supervisor/Reporting Officer	Reviewer
Headquarters Assistant Commandant	Chief of Staff
Area Commander	Vice Commandant
MLC Commander	Area Commander
District Commander	Area Commander
All Others	Vice Commandant

- e. No one may serve as Supervisor, Reporting Officer, and Reviewer on the same OER except for the Commandant (G-C); and Commandant (G-L); the latter may sign as Supervisor, Reporting Officer, and Reviewer for the OER of the Coast Guard's Chief Trial Judge.
- f. The responsible Headquarters program manager will be the Reviewer for reports of officers assigned to other Services or agencies as liaison officers. If no appropriate program manager is obvious, Commander (CGPC-opm) or Commander (CGPC-rpm) will identify, or act, as a Reviewer.
- g. The Reviewer of a Captain's OER must be a flag officer or Coast Guard SES member except in the case of captains assigned to Senior Service Schools, in which case the Reviewer is the appropriate program manager.
2. Responsibilities. The Reviewer:
- a. Ensures the OER reflects a reasonably consistent picture of the Reported-on Officer's performance and potential.
- b. Adds comments as necessary, using form CG-5315 (series), that further address the performance and/or potential of the Reported-on Officer **not otherwise provided by the Supervisor or Reporting Officer**. For any officer whose Reporting Officer is not a Coast Guard commissioned officer, member of the Coast Guard Senior Executive Service (SES), or a USPHS flag officer serving with the Coast Guard, Commandant (G-WK), the Reviewer shall describe the officer's "Potential" and include an additional "Comparison Scale" or "Rating Scale" mark. The comparison scale is not to be completed unless the Reviewer comments are mandatory. Local reproductions of form CG-5315 may be used;  Article 10.A.4.d. for the format for Reviewer comments **and**  **Article 10.A.4.c.11.g. for circumstances when Reviewer comments are mandatory.**

- d. Makes minor administrative corrections without returning an OER to the rating chain.
- e. Conducts an administrative review of the OER. However, the OER Administrator may return an OER to the Reviewer when it contains substantive error;  Article 10.A.4.f.

10.A.2.i. Commander, Coast Guard Personnel Command

1. Designation. Commander, Coast Guard Personnel Command has overall responsibilities for the OES. Administrative servicing of OERs is accomplished by Commander (CGPC-rpm) or Commander (CGPC-opm-3). Servicing of an officer's performance record is accomplished by Commander (CGPC-adm-3).
2. Responsibilities. Reserve Personnel Management Division (CGPC-rpm) or Officer Evaluations Branch (CGPC-opm-3):
 - a. Processes OERs into the Personnel Decision System (PDS), an automated tracking system. Ensures that all OERs go through a quality review.
 - b. Corrects OERs containing minor administrative errors.
 - c. Provides final quality control review of OERs containing substantive errors, including "restricted" remarks as outlined in  Article 10.A.4.f. Normally, the appropriate member of the original rating chain will return these OERs to the Reviewer for correction or redaction. However, in certain situations, returning an OER through the rating chain could lead to unacceptable delays and prejudice a Reported-on Officer who is being considered by a board or panel. In order to achieve a balance between accuracy and timeliness, certain corrective measures may be taken to expedite validation of OERs, Reviewer comments, OER Replies, and Addenda.
 - d. Returns the official (validated) copy of the OER to the Reported-on Officer when the original OER is filed in the officer's record. This usually occurs within 45 days after receipt of the OER at Commander (CGPC-rpm) or Commander (CGPC-opm-3). An official (validated) copy of reserve OERs are sent to the Integrated Support Command (to be used for assignment purposes only).
 - e. Provides Reporting Officers, upon request, their historical comparison rating pattern.
 - f. Develops and implements system changes as necessary to maintain a healthy system.
 - g. Maintains all applicable instructions and forms and recommends policy governing the OES.

- h. Responds to individual and command requests related to OES policy.
 - i. Provides training on the OES, subject to resource availability.
 - j. Conducts the required training for civilian employees assigned rating chain responsibilities.
3. Responsibilities. Records Branch (CGPC-adm-3):
- a. Maintains officer records system.
 - b. Responds to individual inquiries and requests related to those records, including missing copies of OERs.

10.A.3. SUBMISSION SCHEDULE



The intent of the submission schedule is for officers with a biennial, annual or semiannual reporting period to be evaluated as closely to those frequencies as possible. While every effort has been made to accommodate possible deviations to the schedule, unusual circumstances may dictate the submission of reports, or not allow their submission, which may be contrary to the intent of the OES.

10.A.3.a. Regular OERs

1. Biennial (on even numbered years), annual or semiannual (Figure 10.A.1.) as of the last day of the month as follows:

Grade	ADPL	IDPL
Captain	April	April (Annual)
Commander	March	March (Biennial)
Lieutenant Commander	April	April (Biennial)
Lieutenant	May	May (Biennial)
Lieutenant (Junior Grade)	January and July (In zone/above zone promotion board eligible candidates due 30 June)	July (Annual)
Ensign	March and September	March (Annual)
Chief Warrant Officer (W4)	April	April (Biennial)
Chief Warrant Officer (W3)	July	July (Biennial)
Chief Warrant Officer (W2)	June	June (Biennial)

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- a. A reporting period shall never extend beyond 30 months for biennial reports, 18 months for annual reports or 12 months for semiannual reports.
- b. Annual or semiannual OER submission is optional (waivers not required) if:
 - (1) A regular OER (or a special OER that counts for continuity) was submitted within **182** days prior to the scheduled submission date **for annual reports or 92 days for semiannual reports.**
 - (2) A regular OER will be submitted within the **182 days following** the scheduled due date **for annual reports or 92 days for semiannual reports.** Exception: Those officers above zone, and in zone, for promotion as specified by ALCGOFF promulgated by Commander, (CGPC-opm) shall not delay their regular annual or semiannual OER past the scheduled due date, unless the Reported-on Officer has an approved retirement letter or voluntary resignation on file, and is planning on submitting an OER for continuity purposes only. For officers who meet this criteria, a waiver must be obtained as provided in  Articles 10.A.3.a.5.b. and 10.A.3.b.
 - (3) The Reported-on Officer under Permanent Change of Station (PCS) orders and has been observed at the new unit for less than **120** days. The observations shall be recorded in the next regular OER. (NOTE: The term “observed,” for the purpose of this paragraph only, means on-the-job time, excluding travel, temporary duty not performed in the execution of the officer’s normal duties, leave, rating chain transitions, and hospitalization.)
- c. Reserve biennial or annual OER submission is optional (waivers not required) if:
 - (1) A regular OER (or a special or ADSW OER which counts for continuity) was submitted within 6 months prior to the scheduled submission date.
 - (2) A regular OER will be submitted within the following 6 months of the scheduled due date. Exception: Those officers above and in zone for promotion as specified by ALCGRSV promulgated by Commander, (CGPC-rpm) shall not delay their biennial or annual OER past the scheduled due date, unless the Reported-on Officer has an approved retirement letter or voluntary resignation on file, and is planning on submitting an OER for continuity purposes only.  Article 10.A.3.a.5.b. and Article 10.a.3.b.
 - (3) The Reported-on Officer under PCS orders has been observed at the new unit for less than 6 months. The observations shall be recorded in the next regular OER.

OER FOR ANNUAL/SEMIANNUAL SUBMISSION

10.A.3.a(1)

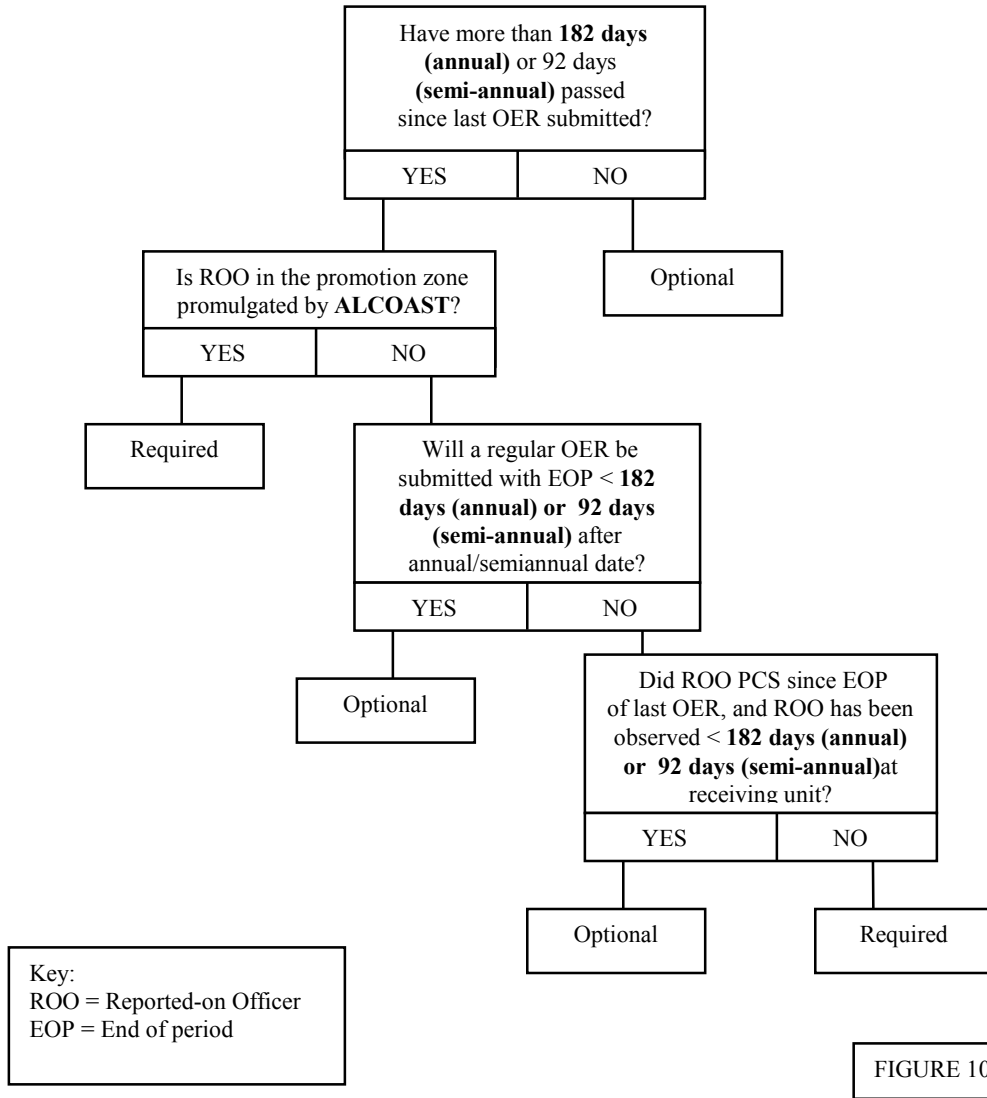
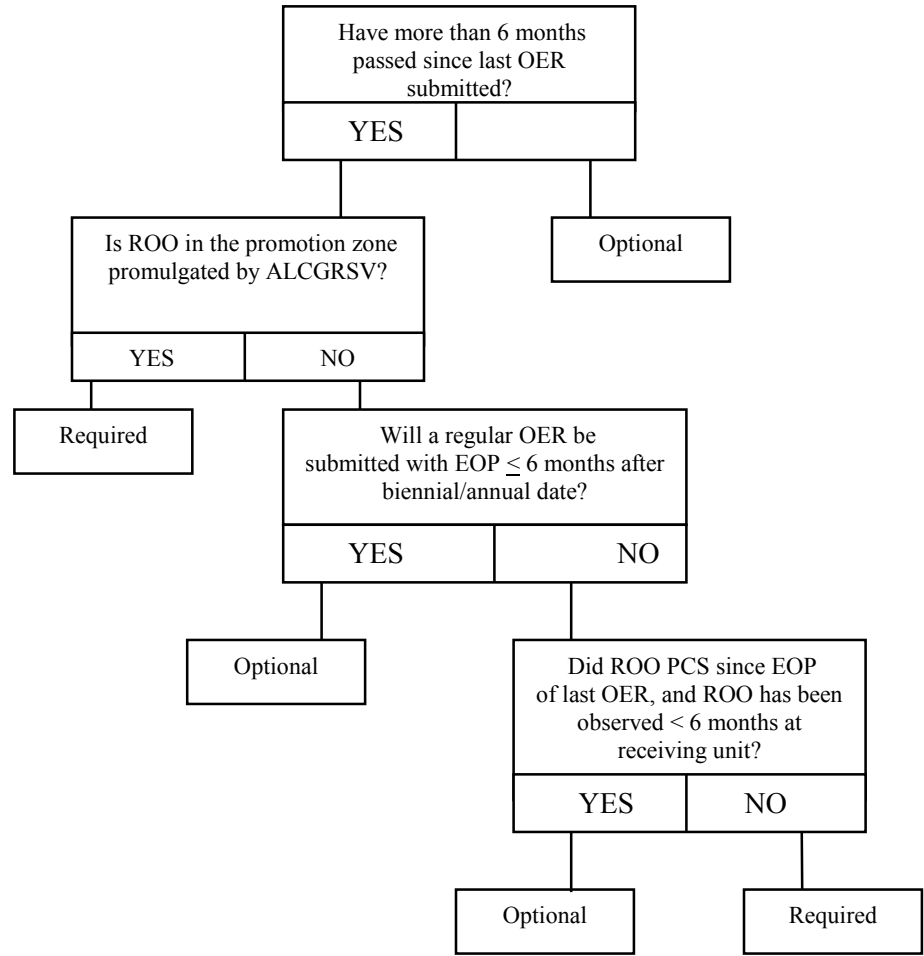


FIGURE 10.A.1

**RESERVE OER FOR BIENNIAL/ANNUAL
SUBMISSION**

10.A.3.a.(1)



Key:
ROO = Reported-on Officer
EOP = End of period

FIGURE 10.A.1 RESERVE

2. Detachment or change of the Reporting Officer (Figure 10.A.2.):

- a. OERs for officers on a biennial submission schedule are required if more than 12 months have elapsed since the ending date of the last regular OER or the date reported present unit, whichever is later.
- b. OERs for officers on an annual submission schedule are required if more than six months (**i.e., 182 days**) have elapsed since the ending date of the last regular OER or the date reported present unit, whichever is later.
- c. OERs for officers on a semiannual submission schedule are required if more than **three** months (**i.e., 92 days**) have elapsed since the ending date of the last regular OER.
- d. OER submission is optional in other situations.

OER FOR DETACHMENT OR CHANGE OF REPORTING OFFICER

10.A.3.a(2)

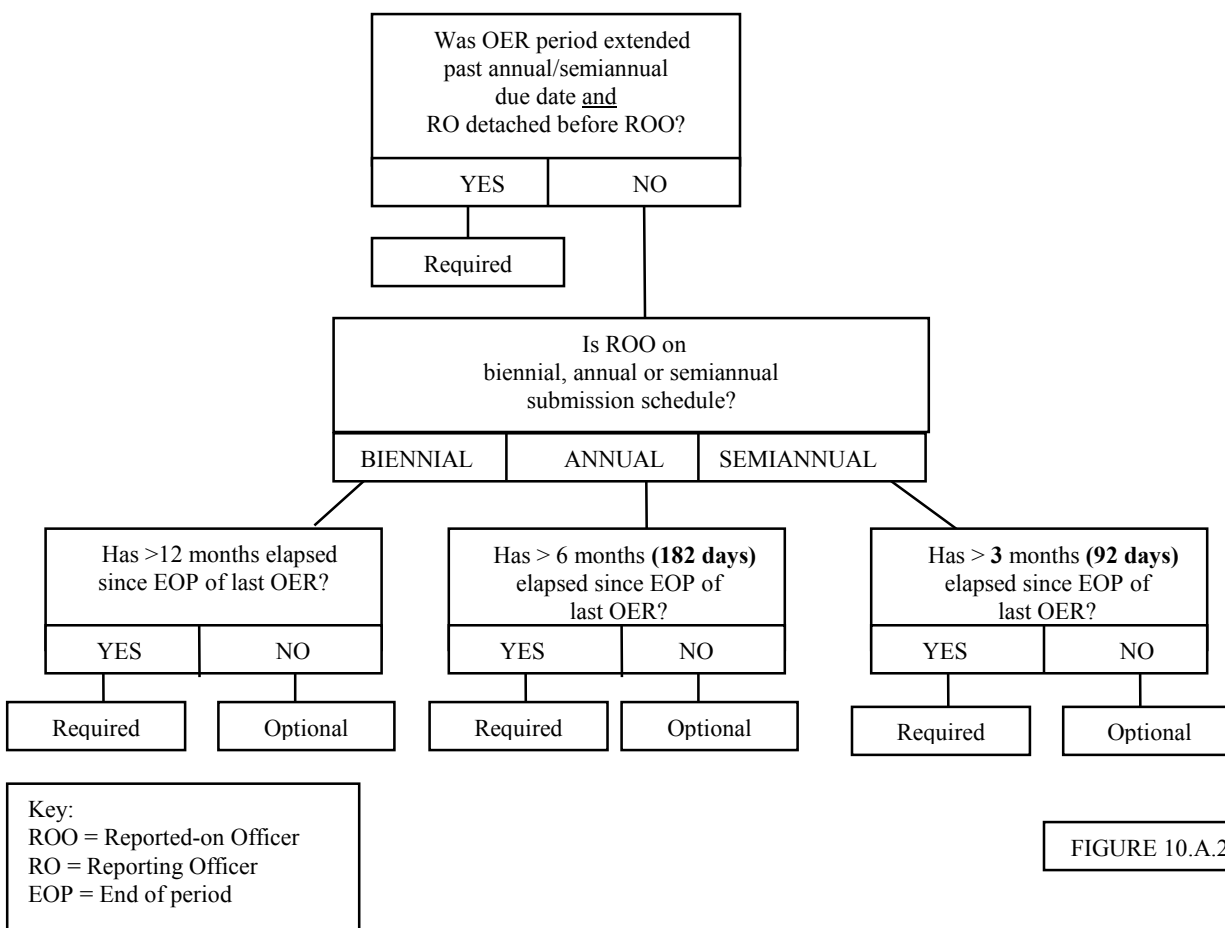
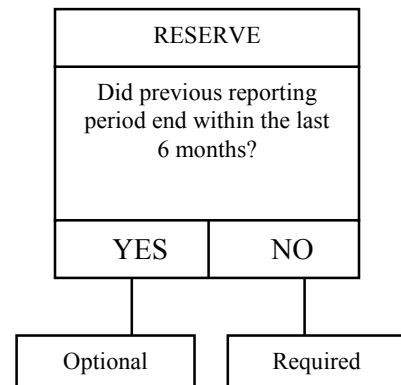
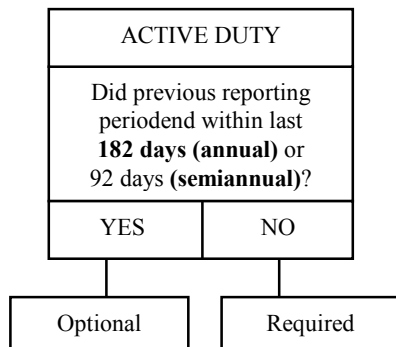


FIGURE 10.A.2

3. Detachment on PCS orders, or separation from the Service of the Reported-on Officer (Figure 10.A.3.):
 - a. OER submission is optional for PCS detachment if the previous regular reporting period ended, or the officer was commissioned, within the last 92 days **for officers with semiannual submission schedules, 182 days for officers with annual submission schedules, or** the last 6 months for reserve officers. The days between the end of the previous regular OER and the detachment date (or from the date of commissioning through the detachment date) may be reflected as “Days Not Observed, Other” on the first OER from the next unit, with a short explanation in Section 2 (e.g., Detached USCGC DAUNTLESS on 97 01 15).
 - b. For officers separating from the Service, the period of the report shall end on the final day of active service, including days on terminal leave.

OER FOR DETACHMENT OF REPORTED-ON OFFICER

10.A.3.a(3)




Key:
ROO = Reported-on Officer

Note: For officers separating from the service, the reporting period shall end on the final day of active service, including days on terminal leave.

FIGURE 10.A.3

4. Promotion of Officers (Figure 10.A.4.):

- a. **Captains selected for promotion to flag grade shall, with the concurrence of their rating chain, submit an OER for continuity purposes only to coincide with their promotion.**
- b. Promotion OERs **are only required** for promotion to captain **and for CWO to LT. However**, if an OER was completed within **182** days of the promotion date **for regulars or** within 6 months for reserve **officers**, the Reported-on Officer need not submit a promotion OER or a waiver request.
- c. Officers promoted to commander, or below, during a reporting period shall apply the submission criteria for the grade to which promoted to determine when their next OER is due (e.g., O-1 promoted to O-2 on 20 January shall do a 31 January O-2 semiannual OER). Promotion OERs are authorized only if this results in a period of greater than 30 months (biennial cycle), greater than 18 months (annual cycle) or greater than 12 months (semiannual cycle). Example: An O-4 promoted to O-5 during April (11 months since the last O-4 OER) who would not otherwise receive an OER until the following March, providing there are no other anticipated intervening occasions, should do a promotion OER. If the intervening occasion will occur more than 92 days after the promotion date, then  Article 10.A.3.b. applies. The Reported-on Officer's grade on the occasion of the "promotion of officer" OER is the grade prior to promotion.
- d. **Officers promoted under the CWO to Lieutenant program shall submit a promotion OER. The annual CWO report may be extended up to 182 days to coincide with the LT appointment without Commander (CGPC-opm-3) approval.**
- e. Officers who have been frocked shall follow the schedule and exceptions described above for their actual pay grade, not for the grade to which they have been frocked.

OER FOR PROMOTION OF REPORTED-ON OFFICER
10.A.3.a.(4)

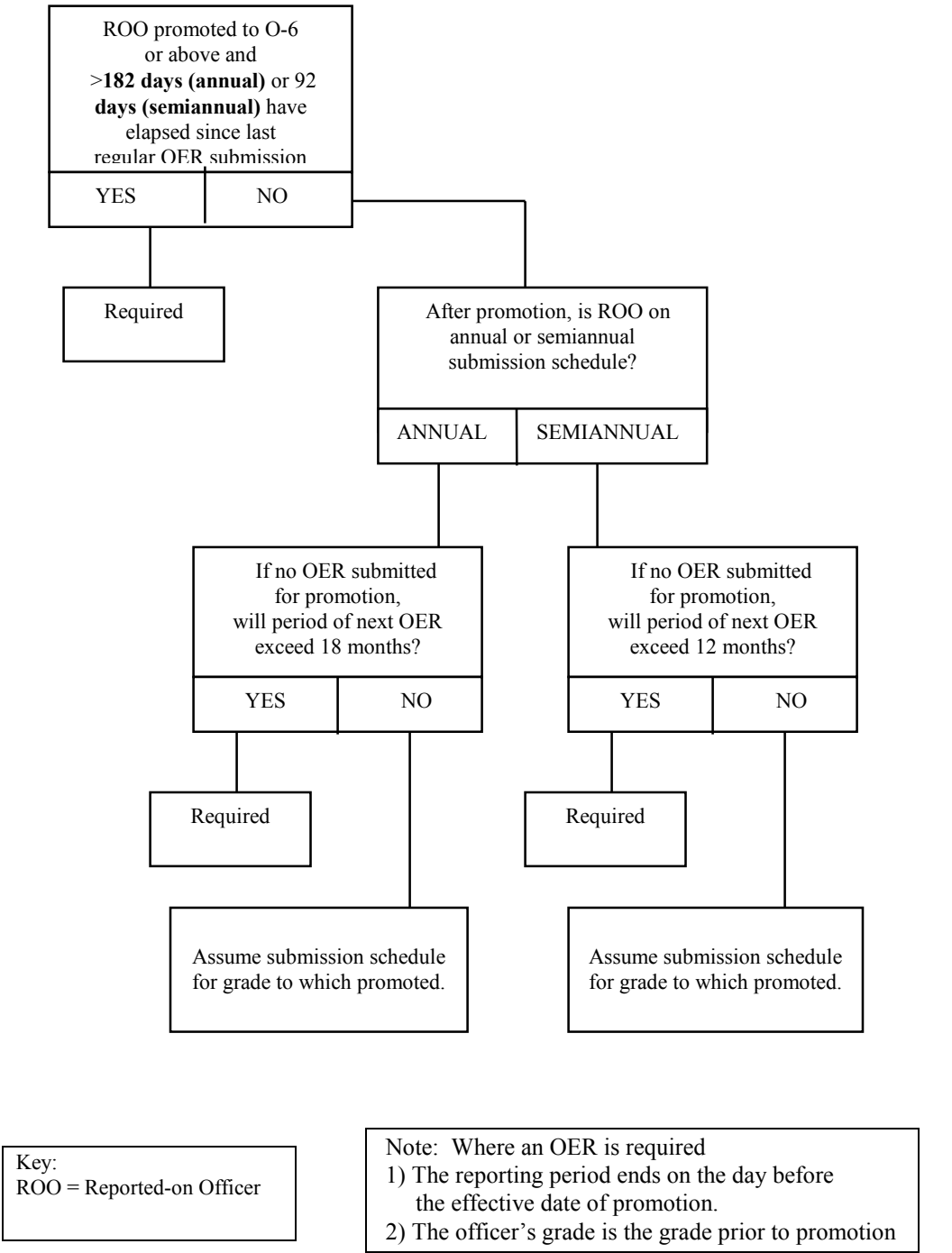
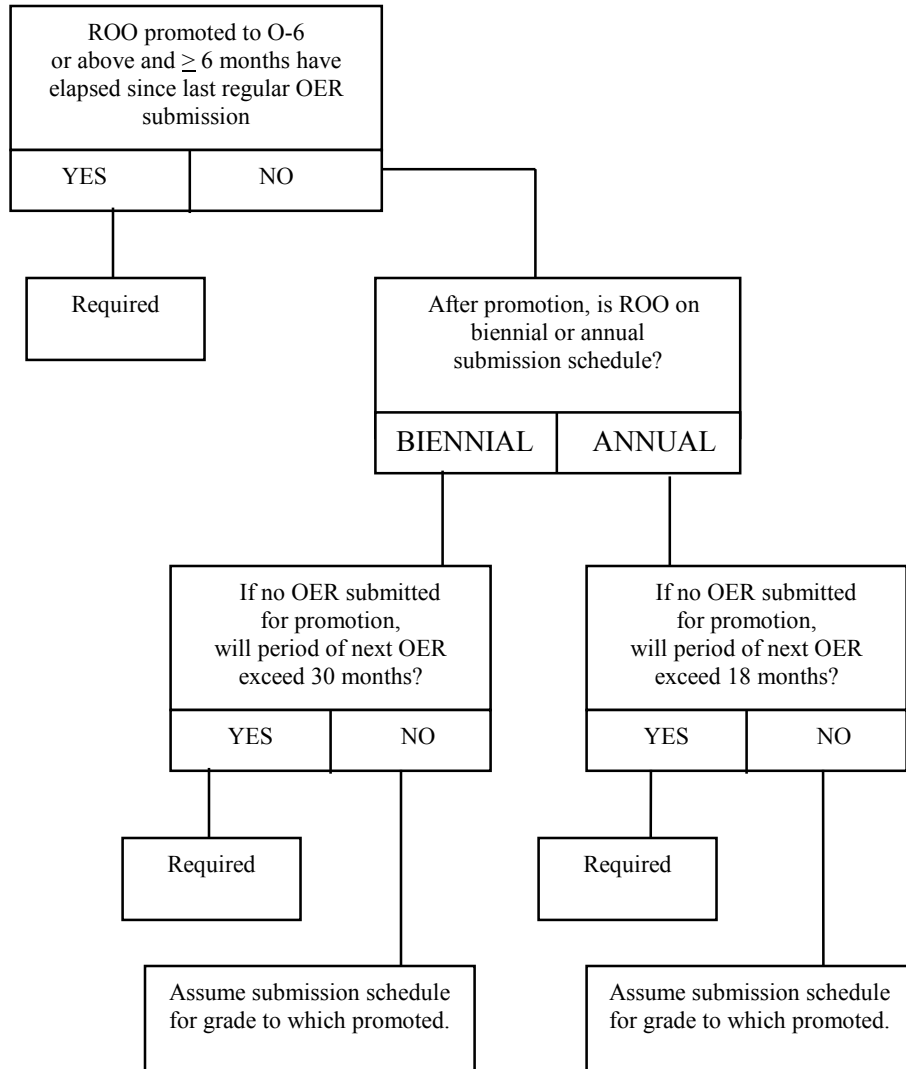


Figure 10.A.4

RESERVE OER FOR PROMOTION OF IDPL REPORTED-ON OFFICER

10.A.3.a.(4)



Key:
ROO = Reported-on Officer




Note: Where an OER is required
1) The reporting period ends on the day before
the effective date of promotion.
2) The officer's grade is the grade prior to promotion


Figure 10.A.4. Reserve


5. Reports for Continuity Purposes (☞ Figure 10.A.5) (**may be referred to as a Continuity OER**). Such reports may be submitted in cases where an OER is required by these instructions, but full documentation is impractical, impossible to obtain, or does not meet officer evaluation system goals.
 - a. Reserve. A continuity OER shall be submitted for officers assigned to the Individual Ready Reserve (IRR). The OER shall encompass the entire period the officer was in the IRR. Exception: For officers being considered for promotion during a particular year (even if Reported-on Officer is still in the IRR) a continuity OER shall be submitted and shall not be delayed past the scheduled submission date. The Integrated Support Command (ISC) should contact Commander (CGPC-rpm) to confirm dates for OER.
 - (1) The ISC (pf) branch chief shall complete or delegate the completion of OER Sections 1, 2, 13, and prepare Section 11, "Reporting Officer Authentication," for the CO's signature. The CO may delegate the Reporting Officer signature authority to the XO, Personnel Division Chief, or Force Optimization and Training Branch Chief. Section 6 (Supervisor Authentication) and Section 12 (Reviewer Authentication) are not used for IRR OERs.
 - (2) Section 2, "Description of Duties," should read "Submitted for continuity purposes only IAW ☞ Article 10.A.3.a.5.a. ROO is in IRR." The "Not Observed" circle should be filled for all marks assigned with Section 9 (Comparison Scale) left blank.

There is no requirement for officers on the Inactive Status List (ISL) to submit an OER since personnel management goals (promotion, assignment, career development, etc.) of the OES do not apply.

- b. A continuity OER may be submitted under the following conditions:
 - (1) The reporting period is 92 days or fewer or for reserve, is 6 months or fewer and the Supervisor and Reporting Officer have little or no information regarding the Reported-on Officer's performance or qualities, e.g., separating from the service; ☞ Article 10.A.3.a.
 - (2) An officer on a semiannual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 12 months of the last regular OER submission and has met the expected high standard of performance during the period. **Reviewer comments are not required for these reports.** Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.

- (3) An officer on an annual schedule has an approved retirement or separation (voluntary resignations and discharges only) date within 18 months of the last regular OER submission and has met the expected high standard of performance during the period. **Reviewer comments are not required for these reports.** Officers requesting reserve commissions or being released from active duty (RELAD) may not apply these criteria.
 - (4) An officer on a biennial schedule has an approved retirement or separation date within 30 months of the last regular OER submission and has met the expected high standard of performance during the period.
 - (5) Reserve CWO4 Only. Reserve CWO4s who have at least one fully documented OER, validated and in the Headquarters personnel record, at the CWO4 grade and continue to meet the expected high standard of performance may submit continuity OERs thereafter. In addition to procedures outlined in  Article 10.A.3.a.5.d. below, Section 2 of the OER shall include the following statements, “OER is submitted under  Article 10.A.3.a.5.b.(5). ROO concurs with decision to submit this continuity OER.” Account for IDT Drills and ADT and ADSW days in Section 2 of the OER. Exception: CWO4’s considering a direct commission or OCS candidacy may not apply this OER option. CWO4s who do not meet above criteria shall submit fully documented OERs as occasion for report dictates.
 - (6) A waiver shall be obtained from Commander (CGPC-rpm) or Commander (CGPC-opm-3) to extend a continuity only OER upon retirement or separation (voluntary resignations and discharges only) beyond an intervening submission occasion (e.g., detachment of Reporting Officer).
- c. An OER for continuity purposes may be required by Commander (CGPC-opm) or Commander (CGPC-rpm) to implement judicial and administrative adjudications, and when directed by Commander (CGPC).
 - d. When submitting a continuity OER, the Reported-on Officer shall complete Sections 1 and 13. The designated Supervisor shall briefly describe the Reported-on Officer’s responsibilities in Section 2 and state the reason the OER is submitted for continuity purposes, e.g., Submitted IAW  Article 10.A.3.a.5., member separating on 01 July 2000. All other evaluation areas, including section 9, shall be left blank with “NOT OBSERVED” marked for each dimension. In determining whether a “continuity purposes only” OER is appropriate for officers being separated, consideration should be given to the Reported-on-Officer’s opportunity to request a reserve commission at some future date. Lack of a fully documented OER upon separation may adversely affect the Reported-on Officer’s ability to later obtain a reserve commission and compete at future reserve officer selection boards. Thus, for officers departing

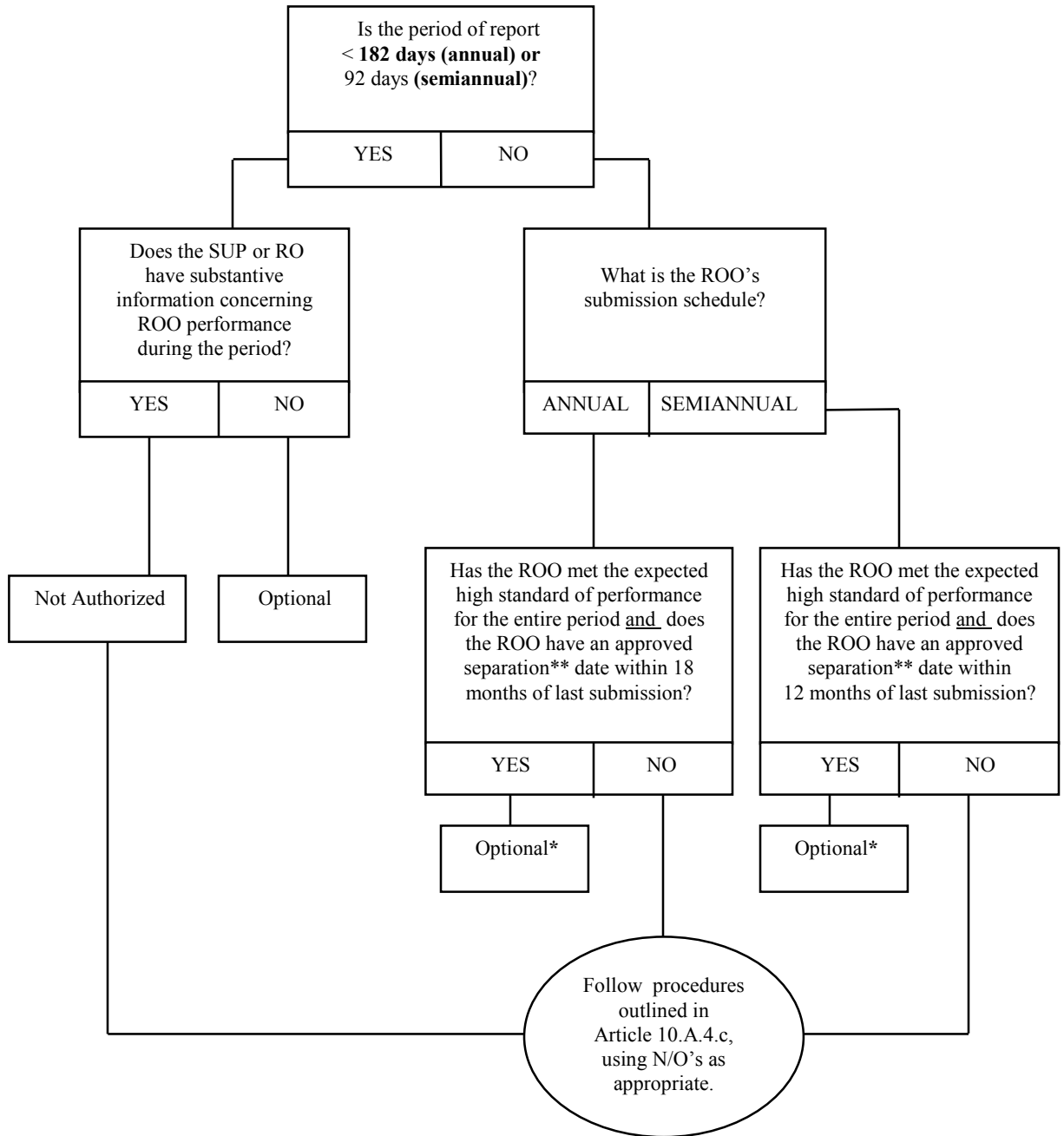
the service for reasons other than retirement, the Supervisor shall ensure that the Reported-on Officer acknowledges reviewing this paragraph. The Supervisor shall also include the following language in Section 2 of the report: “Officer states that he/ she has reviewed the provisions of  Article 10.A.3.a.5., and concurs with the decision to submit this ‘continuity purposes only’ OER.”

Where any member of the rating chain, including the Reported-on Officer, has information deemed significant enough to report for the period the OER covers,  Article 10.A.4.c. procedures apply.

- e. Requests for waivers of the time restrictions of this article should be addressed to Commander (CGPC-rpm) or Commander (CGPC-opm-3). These waivers may be appropriate if intervening occasions, e.g., change of Reporting Officer, would otherwise necessitate successive continuity reports.

OER FOR CONTINUITY PURPOSES

10.A.3.a.(5)



Key:
ROO = Reported-on Officer
SUP = Supervisor
RO = Reporting Officer
N/O = Not Observed

* In this instance, a regular OER must be completed if a continuity OER is not.
** Separations include retirement, discharge, and voluntary separation

Figure 10.A.5.

RESERVE OER FOR CONTINUITY PURPOSES

10.A.3.a.(5)

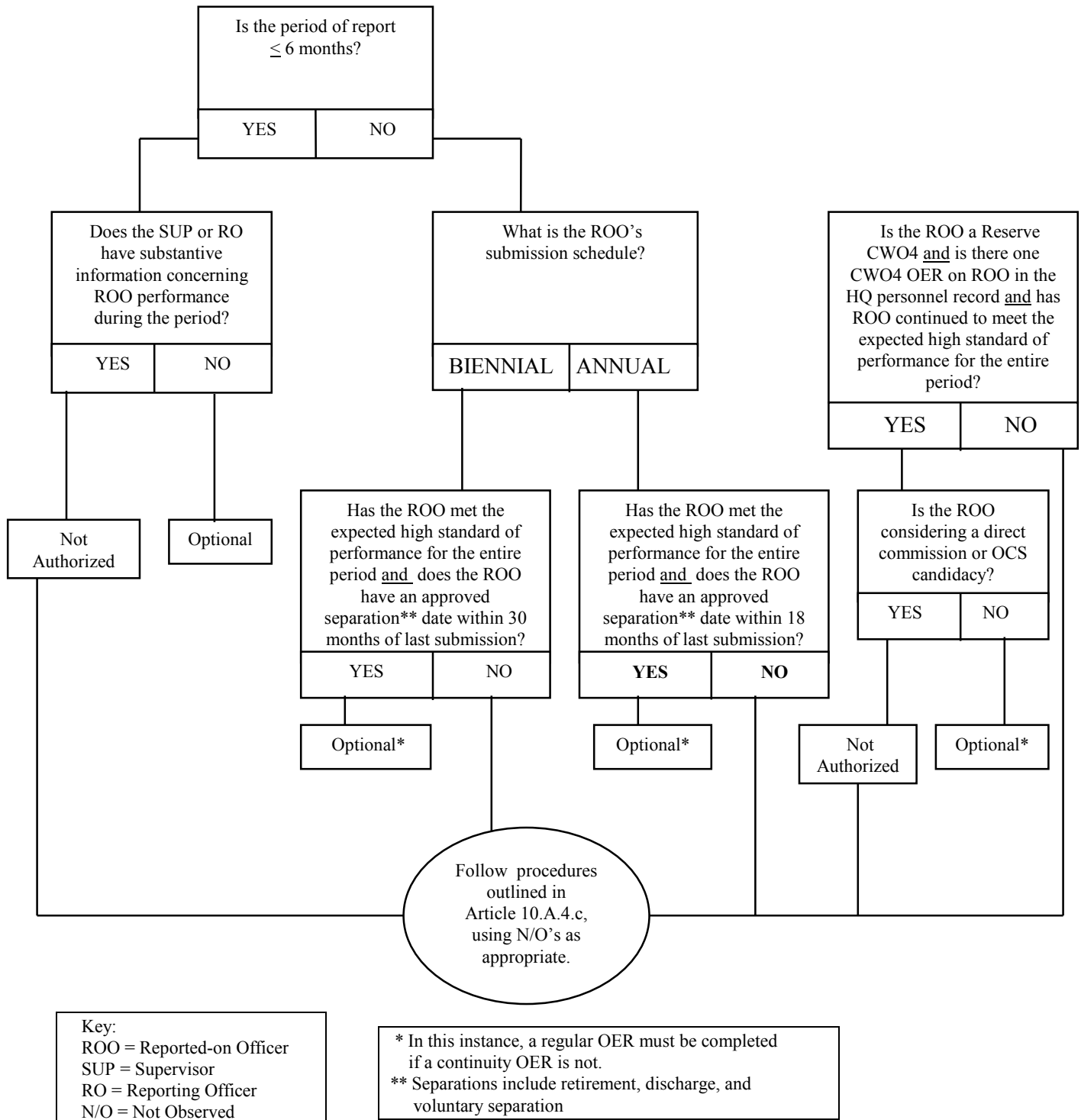




Figure 10.A.5. Reserve

10.A.3.b. OER Waivers

1. Written requests for waivers to the submission schedule (including deadlines for Derogatory OER addenda and OER replies) shall be submitted by the Reported-on Officer to Commander (CGPC-rpm) or Commander (CGPC-opm-3) via the rating chain. Waivers to the normal submission schedule will not be granted without indicating extraordinary circumstances.
2. The Reported-on Officer should identify his or her social security number, phone number, requested period of report, and specific reason(s) for waiver request. If they are in or above zone for promotion, and their intent is to submit a continuity OER upon their retirement or separation, a statement that they understand that their record will be incomplete before the board must be included. The welfare of the Reported-on Officer should be considered along with system goals when determining the appropriate time to submit an OER.

10.A.3.c. Exception OERs

1. Special OERs. The Commandant, commanding officers, higher authority within the chain of command and Reporting Officers may direct these reports. The circumstances for the Special OER must relate to one of the situations described in subsections a. through e. The authorizing article listed below should be cited in Section 2 of the OER along with a brief description of the circumstances which prompted the OER's submission. [Example: "This OER is submitted under Article 10.A.3.c.(1)(--) due to ..."]. Special OERs present unique preparation problems for members of the rating chain. Therefore, preparers are strongly encouraged to contact Commander (CGPC-rpm) or Commander (CGPC-opm-3) for guidance prior to submitting these exception reports. **IAW regular OER submission schedules, Special OERs should be completed by the rating chain and received by CGPC no later than 45 days after the end of the period.**
 - a. A special OER may be completed to document performance notably different from the previous reporting period, if deferring the report of performance until the next regular report would preclude documentation to support adequate personnel management decisions, such as selection or reassignment. This report should not normally reflect performance that is reportable under  Article 10.A.3.c.1.b. Notably changed performance is that which results in marks and comments substantially different from the previous reporting period and results in a change in the Section 9 comparison or rating scale. This OER counts for continuity.
 - b. A special OER is required after an officer is found guilty of a criminal offense and the conduct relates to the Reported-on Officer's performance or any other matter on which an officer may be evaluated,  Article 8.B.4.b. A special OER is also required when an officer receives non-judicial punishment which is not subject to appeal or when the final reviewing authority's action on an investigation includes direction that a Special OER shall be prepared because the evidence established that the officer was criminally culpable. In court-martial cases, the special OER shall be initiated once the convening authority has taken action and the finding of guilty has not been disapproved.

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6. Assign marks in ink. Line out and initial changed marks in ink. Reprint the OER if more than two marks are changed.
7. Acronyms which are uncommon or are specific to a particular Coast Guard program must be clearly defined. This may be effectively accomplished in Section 2 of the OER.
8. Use abbreviations in moderation and only to improve readability and efficiency of the comments. They should also be commonly understood by all Coast Guard officers, e.g., "msg" and "ltr" are common abbreviations; however, "abrvtns" is difficult to interpret.

10.A.4.b. Forms

The following forms shall be used:

Grade	Form
Captain	CG-5310 with page 3C
Commander	CG-5310 with page 3B
Lieutenant Commander	CG-5310 with page 3B
Lieutenant	CG-5310 with page 3B
Lieutenant (jg)	CG-5310 with page 3A
Ensign	CG-5310 with page 3A
Warrant Officer	CG-5310 with page 3A

10.A.4.c. Preparation

1. Section 1—Administrative Data. The Reported-on Officer shall complete all items in this Section, and Section 13 (Return Address), no later than 21 days before the end of the reporting period. The Reported-on Officer is responsible for the accuracy of the information and the appropriate form for the grade.


Items:

- a. NAME—Last and initials only. First names shall not be used.
- b. SOCIAL SECURITY NUMBER—Ensure correct.
- c. RESERVE TIME COMPLETED (IDPL officers only)—Until further notice, this section should not be used. The following information should be entered (as shown) in Block 2 as the last part of the "Description of Duties": IDT Drills Scheduled/Attended: XX/XX; ADT: XX Days; ADSW: XX Days. Enter number of drills and days even if zero. The drills/days should reflect the number completed within the period of report, NOT the number completed during the anniversary year.

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- d. GRADE—Two-character pay grade, e.g., W2, O5, as of the end of period date. Frocked officers shall use the report form appropriate to their pay grade, not their frocked grade.
- e. DATE OF RANK—Date of rank in all numerals, e.g., 1997/01/23, for the rank of the officer associated with the period of report.
- f. UNIT—Identification of the unit to which permanently attached, e.g., Commandant (G-LMJ) or USCGC DECISIVE (WMEC-629). For concurrent OERs, use the TAD unit name. For “ADSW” OERs use the ADSW unit name.
- g. ATU-OPFAC.
 - (1) Administrative Target Unit (ATU)—The two-digit numeric designation of the district, area, and headquarters unit to which administratively assigned, e.g., 01 for First District, 98 for Headquarters, 71 for Institute.
 - (2) Operating Facility (OPFAC)—The five-digit numeric designation of the unit to which permanently attached.
- h. DAYS NOT OBSERVED—Enter a two-digit number in all categories representing the days the Reported-on Officer was not present for duty during the evaluation period. Enter as follows:


LV—The number of days leave taken during the evaluation period (**i.e., sick leave, regular leave**).

Other—TAD not performed in the execution of the officer’s normal duties. Hospitalization, PCS, including travel, TEMDU, and proceed time, etc.;  Article 10.A.3.a.
- i. DATE REPORTED—Indicate the actual date of reporting to the unit specified in f. as shown by PMIS data entry. Enter date in the same format as e. above. NOTE: Intra-unit PCS transfers constitute a change in Date Reported Present Unit.
- j. PERIOD OF REPORT—The regular reporting period commences the day after the ending date of the previous regular OER or the day of commissioning (for the first OER for newly commissioned officers) and ends on the date of the occasion for the current report. (Note: The period for a promotion OER ends on the day prior to promotion.) Elapsed time between permanent or temporary duty stations (in transit, on leave, hospitalized, etc.) shall be accounted for in the next period of report and noted in section 1.h., Days Not Observed. Enter dates in the same format as e. above. “ADSW” OERs shall include only dates while on ADSW.

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- c. Block c. SSN—Ensure correct Employee ID Number.
- d. Block d. TITLE OF POSITION (e.g., Chief, Administration Division; Commanding Officer; Chief, Officer Management Branch).
- e. Block e. DATE—The date the Reporting Officer submitted the evaluation to the Reviewing Officer. Because this date indicates when OES responsibilities were completed, a date preceding the **end-of-the-period is prohibited**. Enter **date using a numeric format** (e.g., 2000/11/22).

11. Section 12, Reviewer Authentication.

- a. When adding comments, the Reviewer checks the “Comments Attached” box in Block a.
- b. Block b. SIGNATURE—The Reviewer’s signature verifies that the OER has been completed properly and in accordance with these instructions. A typed or stamped name is required to clearly identify the Reviewer.
- c. Block c. GRADE—Two-character military pay grade or civilian equivalent (e.g., O6, SES1).
- d. Block d. SSN—Ensure correct Employee ID Number.
- e. Block e. TITLE OF POSITION (e.g., Chief, Administration Division; Commanding Officer; Chief, Officer Personnel Management Division).
- f. Block f. DATE—The date the Reviewer completed the review and forwarded the OER to the OER Administrator. Because this date indicates when OES responsibilities were completed, a date preceding the end-of-period is **prohibited**. Enter **date using a numeric format (e.g., 2000/11/22)**.
- g. On form CG-5315 (series), the Reviewer may comment on the Reported-on Officer’s performance, qualities, potential, or value to the Coast Guard if these areas need to be expanded or explained further. Comments and a comparison/rating scale mark are required if the Reporting Officer is not a Coast Guard Officer, Coast Guard Senior Executive Service (SES) member, or the USPHS flag officer serving as Chief, Office of Health and Safety, Commandant (G-WK);  Article **10.A.2.f.2.b**. The Reviewer may explain or reconcile discrepancies or conflicts reflected in the completed report, if these inconsistencies cannot be resolved by returning the report to the concerned rating chain members or through personal discussions. Additionally, the Reviewer shall limit comments to performance or behavior observed during the reporting period and/or discussion of the Reported-on Officer’s potential.
- h. The Reviewer shall forward the completed report, together with any authorized attachments, to the appropriate OER Administrator.

12. Section 13, Return Address. The Reported-on Officer provides the home address to which the official copy of the OER will be returned when the original is filed in the officer's record. Use of this page is mandatory for return address purposes; however, the checklist is optional. If Reported-on Officer is in the process of a PCS move, the new home address may be used or the address of a relative/friend.
13. Section 14, OER Administrator Review. Use of this block by OER Administrators is optional.
14. Validation. **The validation** block on page one of the OER of the copy mailed from Commander (CGPC-rpm) or Commander (CGPC-opm-3) will be stamped:

Official Receipt Copy: Original Filed in Record

The stamp will distinguish the official copy from unofficial copies the officer may receive from the rating chain.


10.A.4.d. Format for Reviewer Comments

1. Reviewers desiring to attach comments to the OER shall restrict their comments to a maximum of one page of form CG-5315 (series) or one single-spaced page (8½" x 11") typed on one side with no enclosures. The comparison scale is not to be completed unless the Reviewer comments are mandatory ☞ Article 10.A.4.c.11.g.
2. When form CG-5315 is not used, Reviewer comments shall be formatted as follows:
 - a. NAME/RANK/SSN OF REPORTED-ON OFFICER.
 - b. PERIOD OF REPORT.
 - c. REVIEWER COMMENTS:
 - d. Add comparison or rating scale if required by ☞ Article 10.A.2.f.
 - e. Following the last line of comments the Reviewer shall sign as below:

Signature/Date
Name: Rank: (typed)
Reviewer



3. Reviewer comments should be stapled to the back of the OER.

10.A.4.e. OER Administrator

1. After the OER Administrator has processed the OER, the original and two photocopies and any authorized attachments will be mailed directly to Commander (CGPC-rpm) for reserve OERs or the original and one photocopy of the OER and any authorized attachments will be mailed directly to Commander (CGPC-opm-3) for active duty OERs to arrive not later than 45 days after the end of the reporting period;  Article 10.A.2.f.
2. Mail OERs in double envelopes with the inner envelope marked “Officer Evaluation Reports - For Official Use Only,” unless mailed directly to either a rating chain member, Commander (CGPC-rpm) or Commander (CGPC-opm-3). A double envelope is required if the OER is mailed through any chain of command or via any addressee.


10.A.4.f. Restrictions

Members of the rating chain shall not:



1. Mention the officer’s conduct is the subject of a judicial, administrative, or investigative proceeding, including criminal and non-judicial punishment proceedings under the Uniform Code of Military Justice, civilian criminal proceedings, PRRB, CGBCMR, or any other investigation (including discrimination investigations) except as provided in  Article 10.A.3.c. Referring to the fact conduct was the subject of a proceeding of a type described above is also permissible when necessary to respond to issues regarding that proceeding first raised by an officer in a reply under  Article 10.A.4.g. These restrictions do not preclude comments on the conduct that is the subject of the proceeding. They only prohibit reference to the proceeding itself.
2. Consider or evaluate the performance of any officer as a member of court-martial, or give a less favorable evaluation to any defense counsel because of the zeal with which they represented an accused. Such evaluations are prohibited by the Manual for Courts-Martial, M.C.M. 104 (b) (1). This is not intended to preclude the accurate evaluation of, and comment on, counsels’ advocacy skills (e.g., trial preparation, organization, logical analysis, writing ability, oral advocacy, direct or cross examination, handling of evidence, use of expert witnesses or demonstrative evidence, etc.) displayed in a court-martial setting. However, in commenting on such performance, whether favorable or unfavorable, no reference will be made to the name, case number, or final result (acquittal, conviction, or sentence).
3. Mention or allude to the fact that the Reported-on Officer was not selected by a board or panel (e.g., references to non-voluntary retirement or separation).
4. Mention any PRRB or CGBCMR application or decision.

5. Mention any medical or psychological conditions, whether factual or speculative. Restriction applies to Reported-on Officer and family members. **The mention of NFFD status is prohibited.**
6. Mention pregnancy. Restriction applies to Reported-on Officer and family members.
7. Expressly evaluate, compare, or emphasize gender, religion, color, race or ethnic background.
8. Place emphasis upon a third party by gender, religion, color, race, or ethnic background (e.g., Catholic lay minister wrote award recommendation for African-American civilian). **Although there is no restriction on naming third parties, rating chains should realize it is much easier to reconcile titles with positions of authority rather than correlating performance with proper names.**
9. Refer to the Reported-on Officer by first name.
10. Refer to Reported-on Officer's marital or family status.
11. Discuss Reported-on Officer's performance or conduct which occurred outside the reporting period.
12. Provide comments, attachments or citations which include information subject to a security classification. Evaluations of officers in billets dealing with classified national security issues should characterize performance in a manner which captures the essence of actions and their impact as specifically as possible without raising the classification above the UNCLAS level.

10.A.4.g. Reported-on Officer Reply

1. The Reported-on Officer may reply to any OER regardless of its content and have this reply filed with the OER. Replies provide an opportunity for the Reported-on Officer to express a view of performance which may differ from that of a rating official.
2. Comments should be performance-oriented, either addressing performance not contained in the OER or amplifying the reported performance. Restrictions outlined in  Article 10.A.4.f. apply. Comments pertaining strictly to interpersonal relations or a personal opinion of the abilities or qualities of a rating chain member are not permitted.
3. Reported-on Officer replies must be submitted to Commander (CGPC-rpm) or Commander (CGPC-opm-3) via the original rating chain. Replies shall not be forwarded through the OER Administrator. If the whereabouts of the original rating chain members are unknown, submit the original and one copy directly to Commander (CGPC-rpm) or Commander (CGPC-opm-3) who will forward the reply to the Supervisor, Reporting Officer, and Reviewer.

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4. Replies must be submitted to the Supervisor within 14 days from receipt of the official copy from Commander (CGPC-opm) or Commander (CGPC-rpm). Replies based upon receipt of local copies will not be accepted.
5. The OER Reply should be processed by the rating chain to arrive at Commander (CGPC-rpm) or Commander (CGPC-opm-3) not later than 30 days after the date the Reply was submitted to the Supervisor.
6. The Reported-on Officer shall inform Commander (CGPC-rpm) or Commander (CGPC-opm-3) directly by written communication (E-mail is acceptable) if the official receipt copy of the OER Reply has not been received 60 days from the date the Reply was submitted to the Supervisor.
7. Reported-on Officer replies do not constitute a request to correct a record. An officer who believes his or her OER contains a major administrative or substantive error should **follow** the procedures to correct military records **as** outlined in  Article 10.A.7. This includes requests to have the OER, or a part thereof, removed from the record. Members of the rating chain who, in their review of a Reported-on Officer's reply, concur with the Reported-on Officer that an error may be present in the OER, shall return the reply to the Reported-on Officer and assist that officer in following  Article 10.A.7. procedures.
8. Format for replies:

Date: (Submitted to Supervisor)

Signature

From: **(RANK, NAME, USCG/USCGR)**

To: Commander, Coast Guard Personnel Command (opm-3)

Thru: (1) (Original Supervisor by name)
(2) (Original Reporting Officer by name)
(3) (Original Reviewer by name)


Subj: OER REPLY

Ref: (a) Personnel Manual, COMDTINST M1000.6 (series)



1. As authorized by reference (a), I request the below reply be filed with my evaluation report for the period (YR, MONTH, DAY) to (YR, MONTH, DAY).

#

9. Reported-on Officers shall limit their replies to a maximum of two single-spaced pages (8½" x 11") typed on one side with no enclosures. Each rating chain member responding to the reply shall limit that response to a maximum of one single-spaced page (8½" x 11") typed on one side with no enclosures. If a rating chain member elects not to respond to the reply, he or she shall initial and date in the **thru** block of the Reply, and forward through the rating chain.

10. Any rating chain member who, upon reviewing a Reported-on Officer's reply, finds reason to concur that an error of fact may be present in the OER shall comment in their response and assist the officer in following the records correction procedures in  Article 10.A.7.

10.A.4.h. Derogatory Reports

1. Definition. Derogatory reports are OERs that indicate the Reported-on Officer has failed in the accomplishment of **assigned** duties. Derogatory reports are only those OERs which:
 - a. **Contain a** numerical mark of one in any performance dimension, or
 - b. **Contain** an "unsatisfactory" mark by the Reporting Officer in section 9.
 - c. **Documents adverse performance or conduct that results in the removal of a member from his or her primary duty or position.**
2. Processing. Derogatory OERs are processed as follows:
 - a. The Reporting Officer shall provide a copy (authenticated through Section 11) to the Reported-on Officer requesting that an addendum be prepared. The Reported-on Officer is not required to prepare an addendum. The Reported-on Officer's addendum does not constitute an official request for correction of a record but provides the Reported-on Officer an opportunity to explain the failure or provide their views of the performance in question. Commenting or declining comment does not preclude the Reported-on Officer from an official request for correction of the record under  Article 10.A.7. or submitting an OER Reply under  Article 10.A.4.g.
 - b. After completing the addendum, the Reported-on-Officer shall forward the OER along with the addendum to the Reporting Officer. The Supervisor and the Reporting Officer shall be afforded the opportunity to address the Reported-on Officer's addendum. In all cases, the rating officials shall each endorse the addendum by signature. The Reporting Officer will then forward the OER and attachments to the Reviewer.
 - c. If the Reported-on Officer declines to make an addendum they shall so indicate by attaching the following statement: "I am aware of the contents of the performance report and decline comment." An addendum by the Reported-on Officer must be made within 14 days of receipt of the OER unless an extension is specifically requested from Commander (CGPC-rpm) or Commander (CGPC-opm-3). If the Reported-on Officer fails to provide either an addendum or the above statement within 14 days, the Reporting Officer shall forward the OER to the Reviewer noting that an addendum was solicited and not received. In such cases, the Reviewer shall prepare a Reviewer Attachment specifically stating that an addendum was solicited but not received.